

07/12/01
JG986 U.S.P.T.O.

07-13-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. YOR9-2001-0331 (8728-517)*First Inventor* Peter K. Malkin*Title* Method for Indicating Consumer Demand*Express Mail Label No.* EL757868954USJG986 U.S.P.T.O.
09/904088
07/12/01**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.
See 37 CFR 1.27.
- Specification [Total Pages 29]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (*if filed*)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
- Oath or Declaration [Total Pages 2]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)

i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)
11. English Translation Document (*if applicable*)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. PTO/SB/17
17. Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP)

of prior application No.: _____ / _____

Prior application Information: Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/>	Customer Number or Bar Code Label <i>(Insert Customer No. or Attach bar code label here)</i>				<input type="checkbox"/> Correspondence address below
Name	Frank Chau, Esq.				
Address	F. CHAU & ASSOCIATES, LLP 1900 Hempstead Turnpike, Suite 501				
City	East Meadow	State	New York	Zip Code	11554
Country	U.S.A	Telephone	(516) 357-0091	Fax	(516) 357-0092
Name (Print/Type)	Frank Chau		Registration No. (Attorney/Agent)	34,136	
Signature			Date	7/12/01	

7/12/01
JG96 U.S.P.T.O.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 750.00)

Completeness

Application Number	
Filing Date	
First Named Inventor	Peter K. Malkin
Examiner Name	
Group Art Unit	
Attorney Docket No.	YOR9-2001-0331 (8728-517)

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
 Deposit Account Number **50-0510/IBM**
 Deposit Account Name **IBM/Yorktown Heights**
 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
 Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:
 Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)		
101	710	201	355	Utility filing fee	\$710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ 710.00)

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	19	-20** = 0 x 18 = \$0	
Independent Claims	2	- 3** = 0 x 80 = 0	
Multiple Dependent		270 = 0	

** or number previously paid, if greater; For Reissues, see below

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 0.00)

3. ADDITIONAL FEES	Fee Description	Fee Paid
105	130 205 65 Surcharge - late filing fee or oath	
127	50 227 25 Surcharge - late provisional filing fee or cover sheet	
139	130 139 130 Non-English specification	
147	2,520 147 2,520 For filing a request for ex parte reexamination	
112	920* 112 920* Requesting publication of SIR prior to Examiner action	
113	1,840* 113 1,840* Requesting publication of SIR after Examiner action	
115	110 215 55 Extension for reply within first month	
116	390 216 195 Extension for reply within second month	
117	890 217 445 Extension for reply within third month	
118	1,390 218 695 Extension for reply within fourth month	
128	1,890 228 945 Extension for reply within fifth month	
119	310 219 155 Notice of Appeal	
120	310 220 155 Filing a brief in support of an appeal	
121	270 221 135 Request for oral hearing	
138	1,510 138 1,510 Petition to institute a public use proceeding	
140	110 240 55 Petition to revive - unavoidable	
141	1,240 241 620 Petition to revive - unintentional	
142	1,240 242 620 Utility issue fee (or reissue)	
143	440 243 220 Design issue fee	
144	600 244 300 Plant issue fee	
122	130 122 130 Petitions to the Commissioner	
123	50 123 50 Processing fee under 37 CFR 1.17(q)	
126	240 126 240 Submission of Information Disclosure Stmt	
581	40 581 40 Recording each patent assignment per property (times number of properties)	\$40
146	710 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))	
179	710 279 355 Request for Continued Examination (RCE)	
169	900 169 900 Request for expedited examination of a design application	
Other fee (specify) _____		
Reduced by Basic Filing Fee Paid		SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Frank Chau	Registration No. (Attorney/Agent)	34,136	Telephone	(516) 357-0091
Signature				Date	July 12, 2001

Assistant Commissioner for Patents
Washington, D.C. 20231

Attorney Docket: YOR9-2001-0331 (8728-517)
Date: July 12, 2001

Transmitted herewith for filing is the patent application of:

Inventor(s): Peter K. Malkin, Wendy Anne Kellogg, and Lewis Alexander Morrow
For: METHOD FOR INDICATING CONSUMER DEMAND

Enclosed are: 23 page(s) of specification; 1 page(s) of Abstract; 5 Page(s) of Claims;
 8 Sheets of drawings
 Declaration and Power of Attorney
 An Assignment of the invention to International Business Machines Corporation, Armonk, New York, with PTO Form 1595.
 Information Disclosure Statement, cited references and PTO Form 1449
 Associate Power of Attorney

CALCULATION OF UTILITY APPLICATION FEE

For	Number Filed	Number Extra	Rate	Basic Fee \$710.00
TOTAL CLAIMS	19	0	x 18 =	\$0
INDEPENDENT CLAIMS	3	0	x 80 =	\$0
<input type="checkbox"/> Multiple Dep. Claim			270	\$0
				TOTAL \$710.00

- Charge the amount of \$750.00 (\$710.00 application fee and \$40.00 assignment recordation fee) to Deposit Account No. 50-0510/IBM (Yorktown Heights).
- The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.
- Any additional filing fees required under 37 C.F.R. §1.16.
- Any patent application processing fees under 37 C.F.R. §1.17.

Date: July 12, 2001

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Attorney for:
IBM Corporation
Intellectual Property Department
P.O. Box 218
Yorktown Heights, NY 10598

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date July 12, 2001 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL757868954US addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.


Frank Chau